

# **Interview Summary**

Application No.

08/971,344

Applicant(s)

GOELET ET AL.

Examiner

Bradley L. Sisson

Art Unit

1655

All participants (applicant, applicant's representative, PTO personnel):

(1) Bradley L. Sisson.

(3) \_\_\_\_\_.

(2) Franklin S. Abrams, Reg. No. 43,457.

(4) \_\_\_\_\_.

Date of Interview: 26 October 2000.

Type: a) ☒ Telephonic b) ☐ Video Conference  
c) ☐ Personal [copy given to: 1) ☐ applicant 2) ☐ applicant's representative]

Exhibit shown or demonstration conducted: d) ☐ Yes e) ☐ No.

If Yes, brief description:

Claim(s) discussed: 94-112.

Identification of prior art discussed: See Continuation Sheet.

Agreement with respect to the claims f) ☒ was reached. g) ☐ was not reached. h) ☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: See Continuation Sheet.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

i) ☒ It is not necessary for applicant to provide a separate record of the substance of the interview (if box is checked).

Unless the paragraph above has been checked, THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

B. L. Sisson  
Examiner's signature, if required

## Summary of Record of Interview Requirements

### Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

### Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews

#### Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

#### 37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case unless both applicant and examiner agree that the examiner will record same. Where the examiner agrees to record the substance of the interview, or when it is adequately recorded on the Form or in an attachment to the Form, the examiner should check the appropriate box at the bottom of the Form which informs the applicant that the submission of a separate record of the substance of the interview as a supplement to the Form is not required.

It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,  
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

### Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

Continuation of Identification of prior art discussed:

- 1) Blum et al., "Molecular Mechanism of slow acetylation of drugs and carcinogens in humans," PNAS, Vol. 88, pp. 5237-5241.
- 2) WO 92/15712 (Goelet et al.) 17 September 1992.
- 3) Ainsworth et al., "Identification and characterization of sporadic and inherited mutations in exon 31 of the neurofibromatosis (NF1) gene," Human Genetics, Vol. 91, No. 2, pages 151-156.
- 4) Botstein et al., "Construction of a Genetic Linkage Map in man using Restriction Fragment Length Polymorphism," Am. J. Hum. Genet. 32:314-331. 1980.
- 5) US Patent 5,266,459 (Beutler).
- 6) US Patent 5,429,923 (Seidman et al.).
- 7) US Patent 5,234,811 (Beutler et al.).

Continuation of Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments:

Agreement was reached in that all point mutations constitute a form of single nucleotide polymorphism (SNP) but that not all SNPs are a point mutation. Agreement was also reached in that the aspect of correlating point mutations in a gene to predispositions of an individual to developing a disease, or to the presence of a disease, was known in the art at the time the subject application was filed.

Mr. Abrams indicated a desire to amend the claims such that there need be a "marker set" of at least two or more SNPs. Mr. Sisson directed attention to the article of Ainsworth et al., as teaching correlating a plurality of point mutations to an incidence of a disease. And that the patents of Beutler et al., Beutler, and of Seidman et al., teach of numerous other diseases that can be diagnosed or predicted on the basis of point mutations.

In response to an inquiry of Mr. Sisson as to there being literal support for the limitations of "fungi, yeast, and C. elegans" in claim 107, and for "rat and rabbit" in claim 109, and for "corn, wheat, soy, peas and rice" in claim 112, Mr. Abrams indicated that such limitations are to be considered supported by the original disclosure where reference is made to "animals" and "plants." Mr. Abrams directed attention to the decision of Union Oil Co. of California v. Atlantic Richfield Co., (CAFC, March 2000) 54 USPQ2d 1227 as providing a basis for having interpreted the broad terms of "animals" and "plants" to constitute a demonstration that applicant was in possession of these specific embodiments of the claimed invention.

In response to inquiry by Mr. Sisson as to the specification enabling all aspects of the claims, Mr. Abrams indicated that while SNPs had not been looked to to the extent that they had prognostic qualities, as recognized in the art today, the technology developed by applicant could be easily extrapolated to any source of DNA and condition as it was in essence an application of the concept of constructing a genetic linkage map. Mr. Abrams pointed to the publication of Botstein et al. as disclosing same.

Mr. Abrams directed Mr. Sisson to the article of Blum et al., and indicated that applicant was considering drafting the claims to performing an analysis of those SNPs which can be associated with a disease or trait, yet do not cause it, citing SNPs that occur in intronic sequences as opposed to those that occur in the coding sequence of a gene and which result in a change in the encoded protein.

Mr. Sisson indicated that he would be preparing an Office action. .

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If Yes, brief description: \_\_\_\_\_.

Claim(s) discussed: 94-108.

Identification of prior art discussed: \_\_\_\_\_.

Agreement with respect to the claims f) ☒ was reached. g) ☐ was not reached. h) ☐ N/A.


Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: In response to an inquiry by Mr. Abrams, Mr. Sisson indicated that Group V of the restriction requirement was to include claims 94-112.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

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